

PCT

REQUEST

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only

International Application No.

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference  
(if desired) (12 characters maximum) LP2016PC00

**Box No. I TITLE OF INVENTION**

Process for the preparation of (S)- or (R)-4 halo-3-hydroxybutyrate

**Box No. II APPLICANT**

This person is also inventor

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

Telephone No.  
+41 61 316 8433

Lonza AG  
Münchensteinerstrasse 38  
CH-4052 Basel  
CH

Facsimile No.  
+41 61 316 8329

Teleprinter No.

Applicant's registration No. with the Office

State (that is, country) of nationality:  
CH

State (that is, country) of residence:  
CH

This person is applicant  all designated States  all designated States except the United States of America  the United States of America only  the States indicated in for the purposes of:

**Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)**

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

METTLER, Hanspeter  
Finkenweg 12  
CH-3930 Visp  
CH

- applicant only
- applicant and inventor
- inventor only (If this check-box is marked, do not fill in below.)

Applicant's registration No. with the Office

State (that is, country) of nationality:  
CH

State (that is, country) of residence:  
CH

This person is applicant  all designated States  all designated States except the United States of America  the United States of America only  the States indicated in for the purposes of:

Further applicants and/or (further) inventors are indicated on a continuation sheet.

**Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE**

The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:

agent  common representative

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

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+41 61 316 8433

Lonza AG  
Münchensteinerstrasse 38  
CH-4052 Basel  
CH

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+41 61 316 8329

Teleprinter No.

Agent's registration No. with the Office

Address for correspondence: Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.

## Continuation of Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)

If none of the following sub-boxes is used, this sheet should not be included in the request.

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

LEROUX, Frédéric  
13, Rue Saint Yrieix  
F-67760 Gambsheim  
FR

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

Applicant's registration No. with the Office

State (that is, country) of nationality:  
FRState (that is, country) of residence:  
FR

This person is applicant for the purposes of:  all designated States  all designated States except the United States of America  the United States of America only  the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

Applicant's registration No. with the Office

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:  all designated States  all designated States except the United States of America  the United States of America only  the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

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This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

Applicant's registration No. with the Office

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:  all designated States  all designated States except the United States of America  the United States of America only  the States indicated in the Supplemental Box

Further applicants and/or (further) inventors are indicated on another continuation sheet.

**Box No. V DESIGNATIONS**

The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.

However,

- DE Germany is not designated for any kind of national protection
- KR Republic of Korea is not designated for any kind of national protection
- RU Russian Federation is not designated for any kind of national protection

(The check-boxes above may be used to exclude (irrevocably) the designations concerned in order to avoid the ceasing of the effect, under the national law, of an earlier national application from which priority is claimed. See the Notes to Box No. V as to the consequences of such national law provisions in these and certain other States.)

**Box No. VI PRIORITY CLAIM**

The priority of the following earlier application(s) is hereby claimed:

Filing date of earlier application (day/month/year)	Number of earlier application	Where earlier application is:		
		national application: country or Member of WTO	regional application: regional Office	international application: receiving Office
item (1) 31 October 2003 31/10/2003	03024865.2-1211		EP	
item (2)				
item (3)				

Further priority claims are indicated in the Supplemental Box.

The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) (*only if the earlier application was filed with the Office which for the purposes of this international application is the receiving Office*) identified above as:

all items       item (1)       item (2)       item (3)       other, see Supplemental Box

\* Where the earlier application is an ARIPO application, indicate at least one country party to the Paris Convention for the Protection of Industrial Property or one Member of the World Trade Organization for which that earlier application was filed (Rule 4.10(b)(ii)): . . .

**Box No. VII INTERNATIONAL SEARCHING AUTHORITY**

**Choice of International Searching Authority (ISA) (if two or more International Searching Authorities are competent to carry out the international search, indicate the Authority chosen; the two-letter code may be used):**

ISA /

**Request to use results of earlier search; reference to that search (if an earlier search has been carried out by or requested from the International Searching Authority):**

Date (day/month/year)

### Number

**Country (or regional Office)**

50

**Box No. VIII. DECLARATIONS**

The following declarations are contained in Boxes Nos. VIII (i) to (v) (mark the applicable check-boxes below and indicate in the right column the number of each type of declaration):

### Number of declarations

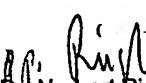
- Box No. VIII (i) Declaration as to the identity of the inventor
- Box No. VIII (ii) Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent
- Box No. VIII (iii) Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application
- Box No. VIII (iv) Declaration of inventorship (only for the purposes of the designation of the United States of America)
- Box No. VIII (v) Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

## Box No. IX CHECK LIST; LANGUAGE OF FILING

This international application contains:		This international application is accompanied by the following item(s) (mark the applicable check-boxes below and indicate in right column the number of each item):		Number of items
(a) in paper form, the following number of sheets:				
request (including declaration sheets)	: 4	<input checked="" type="checkbox"/> fee calculation sheet	: 1	
description (excluding sequence listing and/or tables related thereto)	: 9	<input type="checkbox"/> original separate power of attorney	:	
claims	: 2	<input type="checkbox"/> original general power of attorney	:	
abstract	: 1	<input type="checkbox"/> copy of general power of attorney; reference number, if any:	:	
drawings	: _____	<input type="checkbox"/> statement explaining lack of signature	:	
Sub-total number of sheets	: 16	<input type="checkbox"/> priority document(s) identified in Box No. VI as item(s):	:	
sequence listing	: _____	<input type="checkbox"/> translation of international application into (language):	:	
tables related thereto	: _____	<input type="checkbox"/> separate indications concerning deposited microorganism or other biological material	:	
(for both, actual number of sheets if filed in paper form, whether or not also filed in computer readable form; see (c) below)	: _____	<input type="checkbox"/> sequence listing in computer readable form (indicate type and number of carriers)	:	
Total number of sheets	: 16	(i) <input type="checkbox"/> copy submitted for the purposes of international search under Rule 13ter only (and not as part of the international application)	:	
(b) <input type="checkbox"/> only in computer readable form (Section 801(a)(i))		(ii) <input type="checkbox"/> (only where check-box (b)(i) or (c)(i) is marked in left column) additional copies including, where applicable, the copy for the purposes of international search under Rule 13ter	:	
(i) <input type="checkbox"/> sequence listing		(iii) <input type="checkbox"/> together with relevant statement as to the identity of the copy or copies with the sequence listing mentioned in left column	:	
(ii) <input type="checkbox"/> tables related thereto		10. <input type="checkbox"/> tables in computer readable form related to sequence listing (indicate type and number of carriers)	:	
(c) <input type="checkbox"/> also in computer readable form (Section 801(a)(ii))		(i) <input type="checkbox"/> copy submitted for the purposes of international search under Section 802(b-quater) only (and not as part of the international application)	:	
(i) <input type="checkbox"/> sequence listing		(ii) <input type="checkbox"/> (only where check-box (b)(ii) or (c)(ii) is marked in left column) additional copies including, where applicable, the copy for the purposes of international search under Section 802(b-quater)	:	
(ii) <input type="checkbox"/> tables related thereto		(iii) <input type="checkbox"/> together with relevant statement as to the identity of the copy or copies with the tables mentioned in left column	:	
Type and number of carriers (diskette, CD-ROM, CD-R or other) on which are contained the		11. <input type="checkbox"/> other (specify):	:	
<input type="checkbox"/> sequence listing: _____				
<input type="checkbox"/> tables related thereto: _____				
(additional copies to be indicated under items 9(ii) and/or 10(ii), in right column)				

Figure of the drawings which should accompany the abstract: none

Language of filing of the international application: English

Box No. X SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE  
Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request).
  
 Dr. Norbert Riegler  
 (Manager Patents)

Lonza AG

  
 Dr. Bernd Gallasch  
 (Mandatory)

For receiving Office use only		
1. Date of actual receipt of the purported international application:		2. Drawings: <input type="checkbox"/> received:  <input type="checkbox"/> not received:
3. Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application:		
4. Date of timely receipt of the required corrections under PCT Article 11(2):		
5. International Searching Authority (if two or more are competent): ISA /		
6. <input type="checkbox"/> Transmittal of search copy delayed until search fee is paid		

For International Bureau use only

Date of receipt of the record copy by the International Bureau:

This sheet is not part of and does not count as a sheet of the international application.

PCT

FEE CALCULATION SHEET  
Annex to the Request

For receiving Office use only

International Application No.

Date stamp of the receiving Office

Applicant's or agent's  
file reference

LP2016PC00

Applicant

Lonza SpA et al.

CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE . . . . . 100.00 € T

2. SEARCH FEE . . . . . 1550.00 € S

International search to be carried out by \_\_\_\_\_  
(If two or more International Searching Authorities are competent to carry out the  
international search, indicate the name of the Authority which is chosen to carry out  
the international search.)

3. INTERNATIONAL FILING FEE

Where items (b) and/or (c) of Box No. IX apply, enter Sub-total number of sheets } 16  
Where items (b) and (c) of Box No. IX do not apply, enter Total number of sheets }

i1 first 30 sheets . . . . . 902.00 € i1

i2 \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_ i2  
number of sheets in excess of 30 fee per sheet

i3 additional component (only if sequence listing and/or tables related thereto are filed in computer readable form under Section 801(a)(i), or both in that form and on paper, under Section 801(a)(ii)):

400 x \_\_\_\_\_ = \_\_\_\_\_ i3  
fee per sheet

Add amounts entered at i1, i2 and i3 and enter total at I . . . . . 902.00 € I

(Applicants from certain States are entitled to a reduction of 75% of the international filing fee. Where the applicant is (or all applicants are) so entitled, the total to be entered at I is 25% of the international filing fee.)

4. FEE FOR PRIORITY DOCUMENT (if applicable) . . . . . 30.00 € P

5. TOTAL FEES PAYABLE . . . . . 2,582.00 €

Add amounts entered at T, S, I and P, and enter total in the TOTAL box

TOTAL

MODE OF PAYMENT

authorization to charge  
deposit account (see below)

postal money order

cash

coupons

cheque

bank draft

revenue stamps

other (specify):

AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT ACCOUNT

(This mode of payment may not be available at all receiving Offices)

Receiving Office: RO/ EP

Authorization to charge the total fees indicated above.

Deposit Account No.: 28110201

(This check-box may be marked only if the conditions for deposit accounts of the receiving Office so permit) Authorization to charge any deficiency or credit any overpayment in the total fees indicated above.

Date: 22 October 2004

Authorization to charge the fee for priority document.

Name: Lonza AG

Signature: pp. R. M. J. B. Galvez